



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Kazuhisa KASHIHARA, et al.

SERIAL NO: 09/741,824

GAU: 2874

FILED: December 22, 2000

EXAMINER:

FOR: ARRAYED WAVEGUIDE GRATING TYPE OPTICAL MULTIPLEXER/DEMULTIPLEXER AND OPTICAL WAVEGUIDE CIRCUIT

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

### REFERENCES

- The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- A check is attached in the amount required under 37 CFR §1.17(p).

### RELATED CASES

- Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- A check is attached in the amount required under 37 CFR §1.17(p).

### CERTIFICATION

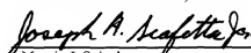
- Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

### DEPOSIT ACCOUNT

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak  
Registration No. 24,913

Joseph A. Scafetta, Jr.  
Registration No. 26,803



**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/98)

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 Marvin J. Spivak  
 Registration No. 24,913
Joseph A. Scafetta, Jr.  
Registration No. 26,803**22850**Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/98)



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SHEET 1 OF 1

Form PTO 1448 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 198334US2	SERIAL NO. 109741,824	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Kazuhisa KASHIHARA, et al.	GROUP 2874	
				FILING DATE December 22, 2000		
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
AA		5,629,992	05/13/97	M. R. AMERSFOORT, et al.		
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						
AL						
AM						
AN						
FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES      NO	
AO		8-122557	05/17/96	JAPAN (with English Abstract)		X
AP		9-297228	11/18/97	JAPAN (with English Abstract)		X
AQ						
AR						
AS						
AT						
AU						
AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)						
	AW					
	AX					
	AY					
	AZ					
Examiner _____					Date Considered _____	
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						